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Approved for use through 10/31/2002 OMB 0651-0032

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. **740756-2394**
 First Inventor **Hongyong ZHANG et al**
 Title **SEMICONDUCTOR DEVICE AND METHOD FOR MANUFACTURING THE SAME**
 Express Mail Label No. _____

APPLICATION ELEMENTS

ADDRESS TO: Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

- 7 ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
 8 Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 a. ☐ Computer Readable Form (CRF)
 b. Specification Sequence Listing on
 i. ☐ CD-ROM or CD-R (2 copies, or
 ii. ☐ paper
 c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9 ☐ Assignment Papers (cover sheet & document(s))
 10. ☐ 37 CFR 3.73(b) Statement of Attorney (when there is an assignee)
 11 ☐ English Translation Document (if applicable)
 12 ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
 13 ☐ Preliminary Amendment
 14 ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
 15 ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
 16 ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
 17 ☒ Other. Notice of Change of Name and Address

MPEP chapter 600 concerning utility patent application contents

- 1 ☐ Fee Transmittal Form (e.g., PTO/SB/17) (Submit on original and a duplicate for fee processing)
 2 ☐ Applicant claims small entity status See 37 CFR 1.27

3. ☒ Specification [Total Pages 46] (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

☒ Drawing(s) (35 U.S.C. 113) Figs. 1A-11D [Total Sheets 9]

Oath or Declaration [Total Sheets 3]

- a. ☐ Newly executed (original or copy)
 b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
 i. ☐ DELETION OF INVENTOR(S)
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

☒ Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09/439,997 filed November 18, 1999 which itself is a Divisional of Serial No. 09/233,146 filed January 19, 1999, which itself is a Divisional of Application Serial No. 08/661,013 filed June 10, 1996, now U.S. Patent No. 5,888,857, which itself is a Divisional of Application Serial No. 08/341,106 filed November 18, 1994, now U.S. Patent No. 5,563,426, which itself is a Divisional of Serial No. 08/160,908 filed December 3, 1993, now U.S. Patent No. 5,403,772.

Prior application information: Examiner B. Kebede Group / Art Unit 2823

For CONTINUING OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 227104 or ☒ Correspondence address below

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Name (Print/Type)	Jeffrey L. Costellia	Registration No. (Attorney/Agent)	#35,483		
Signature	<i>Jeffrey L. Costellia</i>			Date	11/26/01

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231

**FEE TRANSMITTAL
FOR FY 2001***Patent fees are subject to annual revision***TOTAL AMOUNT OF PAYMENT** (\$)**1244.00****Complete if Known**

Application Number	Not Yet Assigned
Filing Date	November 26, 2001
First Named Inventor	Hongyong ZHANG et al
Examiner Name	B. Kebede
Group Art Unit	2823
Attorney Docket No.	740756-2394

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number **19-2380 (740756-2394)**Deposit Account Name **Nixon Peabody LLP**

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐
- Applicant claims small entity status See 37 CFR 1.27

☒ **Payment Enclosed:**☒ Check ☐ Credit Card ☐ Money Order ☐ Other**FEE CALCULATION****BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)**740.00****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
34	-20** = 14	X 18.00 =	252.00
Independent Claims	6	-3** = 3	X 84.00 = 252.00
Multiple Dependent			

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**504.00**

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English transaction	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	200	200	Extension for reply within second month	
117	920	460	460	Extension for reply within third month	
118	1,440	720	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Sheet	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(d))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.29(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on

Name _____

SUBMITTED BY

Name (Print/Type)	Jeffrey L. Costello	Registration No (Attorney/Agent)	#35,483	Telephone	(703) 790-9110
Signature		Date	11/26/01		

